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L37: Entry 2 of 4

File: USPT

Aug 1, 2000

US-PAT-NO: 6098051

DOCUMENT-IDENTIFIER: US 6098051 A

TITLE: Crossing network utilizing satisfaction density profile

DATE-ISSUED: August 1, 2000

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Lupien; William A.	Hesperus	CO		
Rickard; John T.	Durango	CO		

## ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
OptiMark Technologies, Inc.	Jersey City	NJ			02

APPL-NO: 08/ 945074 [PALM]

DATE FILED: October 21, 1997

## PARENT-CASE:

This application is a 371 of PCT/US96/07265 filed Apr. 26, 1996 which is a continuation of Ser. No. 08/571,328 filed Dec. 12, 1995 now U.S. Pat. No. 5,845,266.

## FOREIGN-APPL-PRIORITY-DATA:

COUNTRY	APPL-NO	APPL-DATE
US	08/430212	April 27, 1995
US	08/571328	December 12, 1995

## PCT-DATA:

APPL-NO	DATE-FILED	PUB-NO	PUB-DATE	371-DATE	102(E)-DATE
PCT/US96/07265	April 26, 1996	WO96/34357	Oct 31, 1996	Oct 21, 1997	Oct 21, 1997

INT-CL: [07] G06 F 17/60

US-CL-ISSUED: 705/37; 705/4, 705/30, 705/35, 705/36, 705/38

US-CL-CURRENT: 705/37; 705/30, 705/35, 705/36, 705/38, 705/4

FIELD-OF-SEARCH: 705/37, 705/36, 705/35, 705/30, 705/4, 705/38, 345/172, 116/313, 395/500.03, 395/500.05

## PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

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<input type="checkbox"/>	<u>4376978</u>	March 1983	Musmanno	705/36
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<input type="checkbox"/>	<u>4677552</u>	June 1987	Sibley, Jr.	
<input type="checkbox"/>	<u>4677933</u>	July 1987	Rotella	116/313
<input type="checkbox"/>	<u>4694397</u>	September 1987	Grant et al.	
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<input type="checkbox"/>	<u>5083782</u>	January 1992	Nilssen	705/35
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<input type="checkbox"/>	<u>5126936</u>	June 1992	Champion et al.	705/36
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<input type="checkbox"/>	<u>5557517</u>	September 1996	Daughterty, III	705/37
<input type="checkbox"/>	<u>5689652</u>	November 1997	Lupien et al.	705/37
<input type="checkbox"/>	<u>5845266</u>	December 1998	Lupien et al.	705/37

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2 016 715	November 1990	CA	
0 401 203	December 1990	EP	
0434224	June 1991	EP	
0411748	June 1991	EP	
0 512 702 A2	November 1992	EP	
3-68067	March 1991	JP	
2 275 796	September 1994	GB	
2 277 389	October 1994	GB	
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WO 9605563A1	February 1996	WO	
WO96/34357	October 1996	WO	

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Katz, Jonathan G., Secretary, Division of Market Regulation, SEC Release No. 34-33542; File No. SR-CHX-93-19, "Self-Regulatory Organizations; Proposed Rule Change by Chicago Stock Exchange, Incorporated Proposing to Establish Rules for an Institutional Trading System, Called the Match Market Exchange Facility" Federal Register vol. 59, No. 24, Jan. 1994.

Colby, Robert L.D., Deputy Director, Division of Market Regulation, Letter from Deputy Director to the Chicago Stock Exchange regarding trading of a new basket product "the Chicago Basket" ("CMX Basket") dated Oct. 1993 and Simon, George T., Letter on behalf of the Chicago Stock Exchange requesting interpretation of and exemptive relief from various provisions of the Securities Exchange Act of 1934 and certain rules promulgated thereunder in connection with the trading on the Exchange

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Robert A. Schwartz: Reshaping the Equity Markets, A Guide for the 1990s, Harper Business, 1991 (month not available), pp. 93-95.

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"Automated Execution As Springboard to Growth" by Karen Corcella, Wall Street & Technology, 12 vol. 11, No. 3.

Untitled brochure, National Financial, A Fidelity Investments Company, undated National Financial Services Corporation.

"DDX Davidsohn Order Execution System", the Davidsohn Group, copyright 1993 George Davidsohn and Son, Inc.

"Total Electronic Trading", Merrin Financial Inc., Sep. 30, 1993.

"Schwab Rolls Out First On-Line Trading Software for Windows; Makes Managing Investments Easier Than Ever", dated Oct. 4, 1993 PR Newswire Association, Inc.

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"Staying in the Middle . . . Brokers are Fighting to Keep Their Role In the Market; Includes Related Article on Crossing Networks" by Ivy Schmerken dated Dec., 1991 Wall Street Computer Review .COPYRGT. Information Access Company; .COPYRGT. Dealers' Digest Inc., vol. 9.

"Wall Street Brokers, Merrin Financial Form New Electronic Trading Network" dated Jun. 15, 1993, AFX News.

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"Merrin Financial Introduces the First Automated PC-Based Brokerage Trading System", dated Jul. 20, 1993,, PR Newswire, Financial News.

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"ITG Links Up With AZX, Bridge" dated Sep. 27, 1993, Institutional Investor Inc.,

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ART-UNIT: 271

PRIMARY-EXAMINER: Voeltz; Emanuel Todd

ASSISTANT-EXAMINER: Alvarez; Raquel

ATTY-AGENT-FIRM: Cohen; Neil G.

ABSTRACT:

A crossing network that matches buy and sell orders based upon a satisfaction and quantity profile is disclosed. The crossing network includes a number of trader terminals that can be used for entering order. The orders are entered in the form of a satisfaction density profile that represents a degree of satisfaction to trade a particular instrument at various (price, quantity) combinations. Typically, each order is either a buy order or a sell order. The trader terminals are coupled to a matching controller computer. The matching controller computer can receive as input the satisfaction density profiles entered at each one of the trading terminals. The matching controller computer matches orders (as represented by each trader's satisfaction density profile) so that each trader is assured that the overall outcome of the process (in terms of average price and size of fill) has maximized the mutual satisfaction of all traders. Typically, the matching process is anonymous. The matching process can be continuous or a batch process, or a hybrid of the two. Unmatched satisfaction density profiles can be used to provide spread and pricing information. Factors other than price and quantity also may be used to determine the degree of satisfaction. Optionally, priority may be given to certain profiles in the matching process to accommodate stock exchange rules, for example, requiring that priority be given to orders exhibiting the best price, regardless of size or any other consideration. The crossing network has utility both in the securities industry and for non-securities industry applications.

41 Claims, 17 Drawing figures

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L31: Entry 1 of 5

File: USPT

Oct 1, 2002

US-PAT-NO: 6460036

DOCUMENT-IDENTIFIER: US 6460036 B1

TITLE: System and method for providing customized electronic newspapers and target advertisements

DATE-ISSUED: October 1, 2002

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Herz; Frederick S. M.	Davis	WV		

US-CL-CURRENT: 707/10; 705/14, 707/2, 709/217, 725/14

218-219

Full	Title	Citation	Front	Review	Classification	Date	Reference	Sequence	Attachments	Claims	KWC	Draw. De
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☐ 2. Document ID: US 6029195 A

L31: Entry 2 of 5

File: USPT

Feb 22, 2000

US-PAT-NO: 6029195

DOCUMENT-IDENTIFIER: US 6029195 A

TITLE: System for customized electronic identification of desirable objects

Full	Title	Citation	Front	Review	Classification	Date	Reference	Sequence	Attachments	Claims	KWC	Draw. De
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☐ 3. Document ID: US 5835087 A

L31: Entry 3 of 5

File: USPT

Nov 10, 1998

US-PAT-NO: 5835087

DOCUMENT-IDENTIFIER: US 5835087 A

TITLE: System for generation of object profiles for a system for customized electronic identification of desirable objects

Full	Title	Citation	Front	Review	Classification	Date	Reference	Sequences	Attachments	Claims	KMC	Drawings
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☐ 4. Document ID: US 5754939 A

L31: Entry 4 of 5

File: USPT

May 19, 1998

US-PAT-NO: 5754939

DOCUMENT-IDENTIFIER: US 5754939 A

TITLE: System for generation of user profiles for a system for customized electronic identification of desirable objects

Full	Title	Citation	Front	Review	Classification	Date	Reference	Sequences	Attachments	Claims	KMC	Drawings
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☐ 5. Document ID: US 5754938 A

L31: Entry 5 of 5

File: USPT

May 19, 1998

US-PAT-NO: 5754938

DOCUMENT-IDENTIFIER: US 5754938 A

TITLE: Pseudonymous server for system for customized electronic identification of desirable objects

Full	Title	Citation	Front	Review	Classification	Date	Reference	Sequences	Attachments	Claims	KMC	Drawings
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☐ 1. Document ID: US 20010014868 A1

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L35: Entry 1 of 6

File: PGPB

Aug 16, 2001

PGPUB-DOCUMENT-NUMBER: 20010014868

PGPUB-FILING-TYPE: new

DOCUMENT-IDENTIFIER: US 20010014868 A1

TITLE: SYSTEM FOR THE AUTOMATIC DETERMINATION OF CUSTOMIZED PRICES AND PROMOTIONS

PUBLICATION-DATE: August 16, 2001

INVENTOR-INFORMATION:

NAME	CITY	STATE	COUNTRY	RULE-47
HERZ, FREDERICK	WARRINGTON	PA	US	
EISNER, JASON	PHILADELPHIA	PA	US	
UNGER, LYLE	PHILADELPHIA	PA	US	
LABYS, WALTER PAUL	PHILADELPHIA	PA	US	
ROEMMELE, BERNIE	QUACKERTOWN	PA	US	
HAYWARD, JON	DOYLESTOWN	PA	US	

US-CL-CURRENT: [705/14](#); [705/10](#), [705/26](#)

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☐ 2. Document ID: US 6460036 B1

L35: Entry 2 of 6

File: USPT

Oct 1, 2002

US-PAT-NO: 6460036

DOCUMENT-IDENTIFIER: US 6460036 B1

TITLE: System and method for providing customized electronic newspapers and target advertisements

<a href="#">Full</a>	<a href="#">Title</a>	<a href="#">Citation</a>	<a href="#">Front</a>	<a href="#">Review</a>	<a href="#">Classification</a>	<a href="#">Date</a>	<a href="#">Reference</a>	<a href="#">Sequences</a>	<a href="#">Attachments</a>	<a href="#">Claims</a>	<a href="#">KMC</a>	<a href="#">Draw. De</a>
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☐ 3. Document ID: US 6324517 B1

L35: Entry 3 of 6

File: USPT

Nov 27, 2001



US-PAT-NO: 6324517

DOCUMENT-IDENTIFIER: US 6324517 B1

TITLE: Meeting site selection based on all-inclusive meeting cost

Full	Title	Citation	Front	Review	Classification	Date	Reference	Sequences	Attachments	Claims	KWIC	Draw D
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☐ 4. Document ID: US 6098051 A

L35: Entry 4 of 6

File: USPT

Aug 1, 2000

US-PAT-NO: 6098051

DOCUMENT-IDENTIFIER: US 6098051 A

TITLE: Crossing network utilizing satisfaction density profile

Full	Title	Citation	Front	Review	Classification	Date	Reference	Sequences	Attachments	Claims	KWIC	Draw D
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☐ 5. Document ID: US 6012046 A

L35: Entry 5 of 6

File: USPT

Jan 4, 2000

US-PAT-NO: 6012046

DOCUMENT-IDENTIFIER: US 6012046 A

TITLE: Crossing network utilizing satisfaction density profile with price discovery features

Full	Title	Citation	Front	Review	Classification	Date	Reference	Sequences	Attachments	Claims	KWIC	Draw D
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☐ 6. Document ID: US 5845266 A

L35: Entry 6 of 6

File: USPT

Dec 1, 1998

US-PAT-NO: 5845266

DOCUMENT-IDENTIFIER: US 5845266 A

TITLE: Crossing network utilizing satisfaction density profile with price discovery features

Full	Title	Citation	Front	Review	Classification	Date	Reference	Sequences	Attachments	Claims	KWIC	Draw D
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